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\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

October 11, 2001

**WRITER'S DIRECT NUMBER:**

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**INTERNET ADDRESS:**

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Commissioner for Patents  
Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. (to be assigned); Filed: (herewith)  
For: **Cable Modem System and Method for Dynamically  
Mixing Protocol Specific Header Suppression Techniques**

Inventors: Bunn *et al.*

Our Ref: 1875.0660001

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

**Cable Modem System and Method for Dynamically  
Mixing Protocol Specific Header Suppression Techniques**

Commissioner for Patents  
October 11, 2001  
Page 2

and naming as inventors:

Fred A. BUNN  
Thomas L. JOHNSON

the application consisting of:

- a. a specification containing:
  - i. 57 pages of description prior to the claims;
  - ii. 4 pages of claims (17 claims);
  - iii. a one (1) page abstract;
- b. 29 sheets of drawings: (Figures 1-5, 6A-6C, 7-8, 9A-9B, 10-11, 12A-12B, 13, 14A-14B, 15, 16A-16B, and 17-23); and
- c. an Application Data Sheet;

4. Original executed Declaration for Patent Application;
5. Authorization to Treat a Reply as Incorporating an Extension of Time under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
6. Recordation Form Cover Sheet;
7. Original executed Assignment to Broadcom Corporation, recordation of which is hereby respectfully requested;
8. Two (2) return postcards; and
9. SKG&F check no. **32849** in the amount of **\$780.00** to cover:  
    \$740.00 fee for filing patent application; and  
    \$ 40.00 for recording Assignment.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or

Commissioner for Patents  
October 11, 2001  
Page 3

credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicants  
Registration No. 36,013

RES/WBE:mlb  
Enclosures

PUXNER/MS/MLB/10/17/2001 11:57:45

FEDERAL TRADE COMMISSION

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1875.066001
First Inventor	Bunn et al.
Title	Cable Modem System and Method for Dynamically Mixing Protocol Specific Header Suppression Techniques
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages: 62]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets: 29]
5. Oath or Declaration [Total Pages: 2]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76.
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:
 

Continuation     Divisional     Continuation-in-Part (CIP)    of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information:    Examiner: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement (when there is an assignee)     Power of Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449     Copies of IDS Citations
13.  Preliminary Amendment
14.  Two (2) Return Receipt Postcards (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Authorization to Treat a Reply as Incorporating an Extension of Time under 37 C.F.R. § 1.136(a)(3) (in duplicate)
- Other: The name of the assignee is: Broadcom Corporation

10/11/01  
JC978 U.S. PTO  
10/09/97 3181

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-Part (CIP)    of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information:    Examiner: \_\_\_\_\_

or     Correspondence address below

Customer Number or Bar Code Label

Customer No. 26111

(Insert Customer No. or Attach bar code label here)

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. Attorneys at Law		
ADDRESS			
CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	

NAME (Print/Type)	Robert Kohoh	Registration No. (Attorney/Agent)	36,013
SIGNATURE	10/11/01		

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# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$780.00)

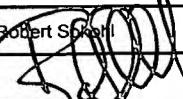
Complete if Known

Application Number	(to be assigned)
Filing Date	(herewith)
First Named Inventor	Bunn et al.
Examiner Name	(to be assigned)
Group Art Unit	(to be assigned)
Attorney Docket No.	1875.0660001

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)				
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:		<b>3. ADDITIONAL FEES</b> Large Entity Small Entity Fee Code Fee (\$) Fee Code Fee (\$) Fee Description Fee paid 105 130 205 65 Surcharge - late filing fee or oath 127 50 227 25 Surcharge - late provisional filing fee or cover sheet 139 130 139 130 Non-English specification 147 2,520 147 2,520 For filing a request for ex parte reexamination 112 920* 112 920* Requesting publication of SIR prior to Examiner action 113 1,840* 113 1,840* Requesting publication of SIR after Examiner action 115 110 215 55 Extension for reply within first month 116 400 216 200 Extension for reply within second month 117 920 217 460 Extension for reply within third month 118 1,440 218 720 Extension for reply within fourth month 128 1,960 228 980 Extension for reply within fifth month 119 320 219 160 Notice of Appeal 120 320 220 160 Filing a brief in support of an appeal 121 280 221 140 Request for oral hearing 138 1,510 138 1,510 Petition to institute a public use proceeding 140 110 240 55 Petition to revive - unavoidable 141 1,280 241 640 Petition to revive - unintentional 142 1,280 242 640 Utility issue fee (or reissue) 143 460 243 230 Design issue fee 144 620 244 310 Plant issue fee 122 130 122 130 Petitions to the Commissioner 123 130 123 130 Petitions related to provisional applications 126 180 126 180 Submission of Information Disclosure Stmt 581 40 481 40 Recording each patent assignment per property (times number of properties) 40.00 146 740 246 370 Filing a submission after final rejection (37 CFR 1.129(a)) 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination (RCE) 169 900 169 900 Request for expedited examination of a design application				
2. Payment Enclosed:		<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* *Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.				
FEE CALCULATION						
I. BASIC FILING FEE						
Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	
101	740	201	370	Utility filing fee	740.00	
106	330	206	165	Design filing fee		
107	510	207	255	Plant filing fee		
108	740	208	370	Reissue filing fee		
114	160	214	80	Provisional filing fee		
SUBTOTAL (1) (\$ 740.00)						
2. EXTRA CLAIM FEES						
Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	
Total Claims 17	- 20**	= 0	X 0	= 0		
Indep. Claims 3	- 3**	= 0	X 0	= 0		
Multiple Dependent				=		
Large Fee Code	Entity Fee (\$)	Small Entity Fee Code	Entity Fee (\$)	Fee Description		
103	18	203	9	Claims in excess of 20		
102	84	202	42	Independent claims in excess of 3		
104	280	204	140	Multiple dependent claim		
108	84	209	42	**Reissue independent claims over original patent		
110	18	210	9	Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2) (\$ 0)						
** or number previously paid, if greater; For Reissues, see above						
*Reduced by Basic Filing Fee Paid						
SUBTOTAL (3) (\$ 40.00)						

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert Soker	Registration No. (Attorney/Agent)	36,013	Telephone	202-371-2600
Signature				Date	10/11/01

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0660001 fee transmittal nonprovisional

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC978 U.S. PTO  
09/973781  
10/11/01

In re application of:

Bunn *et al.*

Appl. No. (to be assigned)

Filed: (herewith)

For: **Cable Modem System and Method  
for Dynamically Mixing Protocol  
Specific Header Suppression Techniques**

Confirmation No. (to be assigned)

Art Unit: (to be assigned)

Examiner: (to be assigned)

Atty. Docket: 1875.0660001

**Authorization to Treat a Reply as Incorporating an Extension of Time  
under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicants  
Registration No. 36,013

Date: 10/11/01

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